“The COMPASS Recap”

COMPASS Team

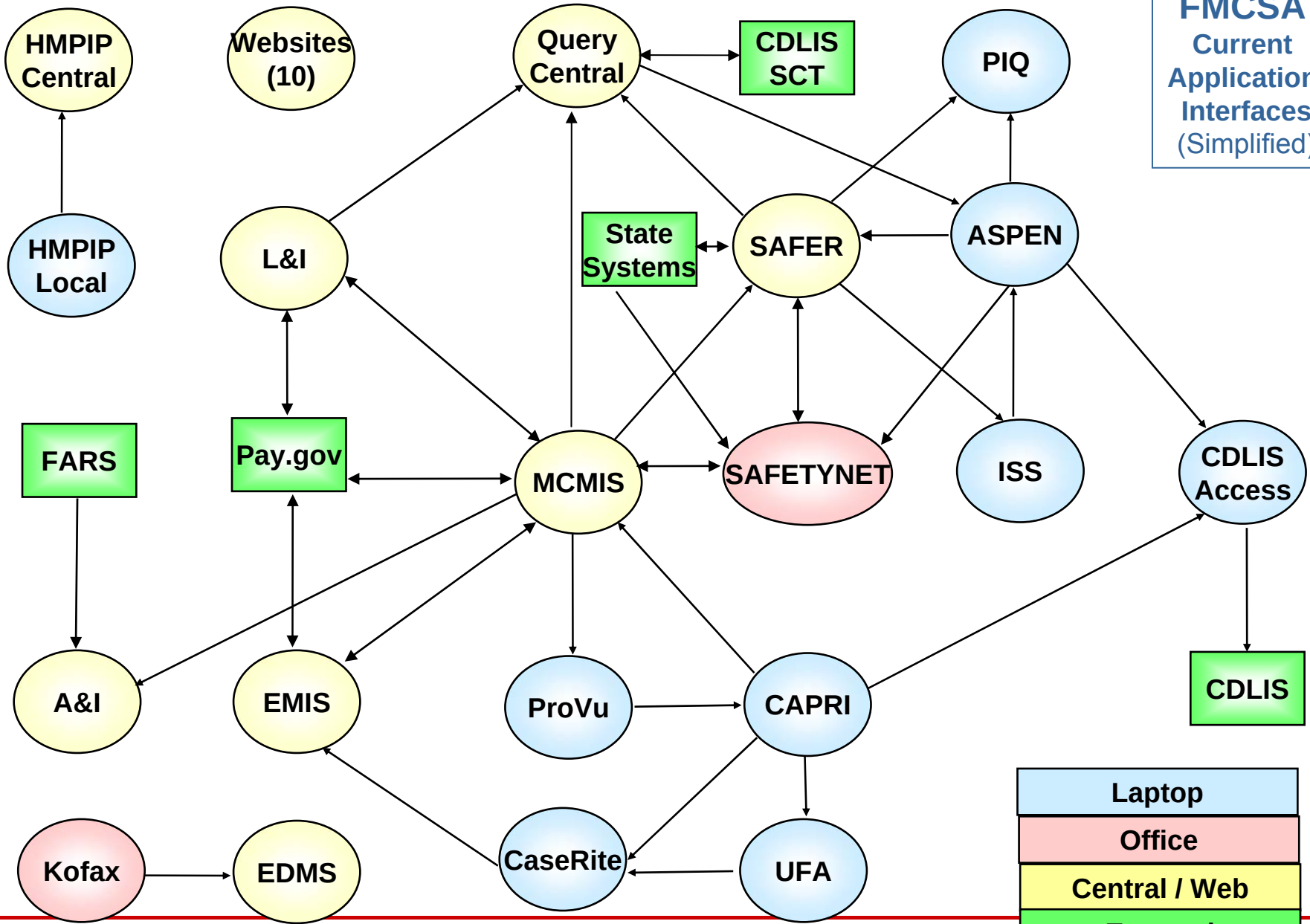
Agenda

- COMPASS IT Workshops in review:
  - The FMCSA COMPASS Story “Modernize and Transform”
  - The COMPASS Roadmap
  - Pilot and Release 1
  - Public Access and Streamlining Registration
  - Regulatory Compliance and Monitoring Alerts
  - Data Warehouse and Reporting
  - Inspections
  - Reviews
  - Crashes
- Discussion (Time permitting)

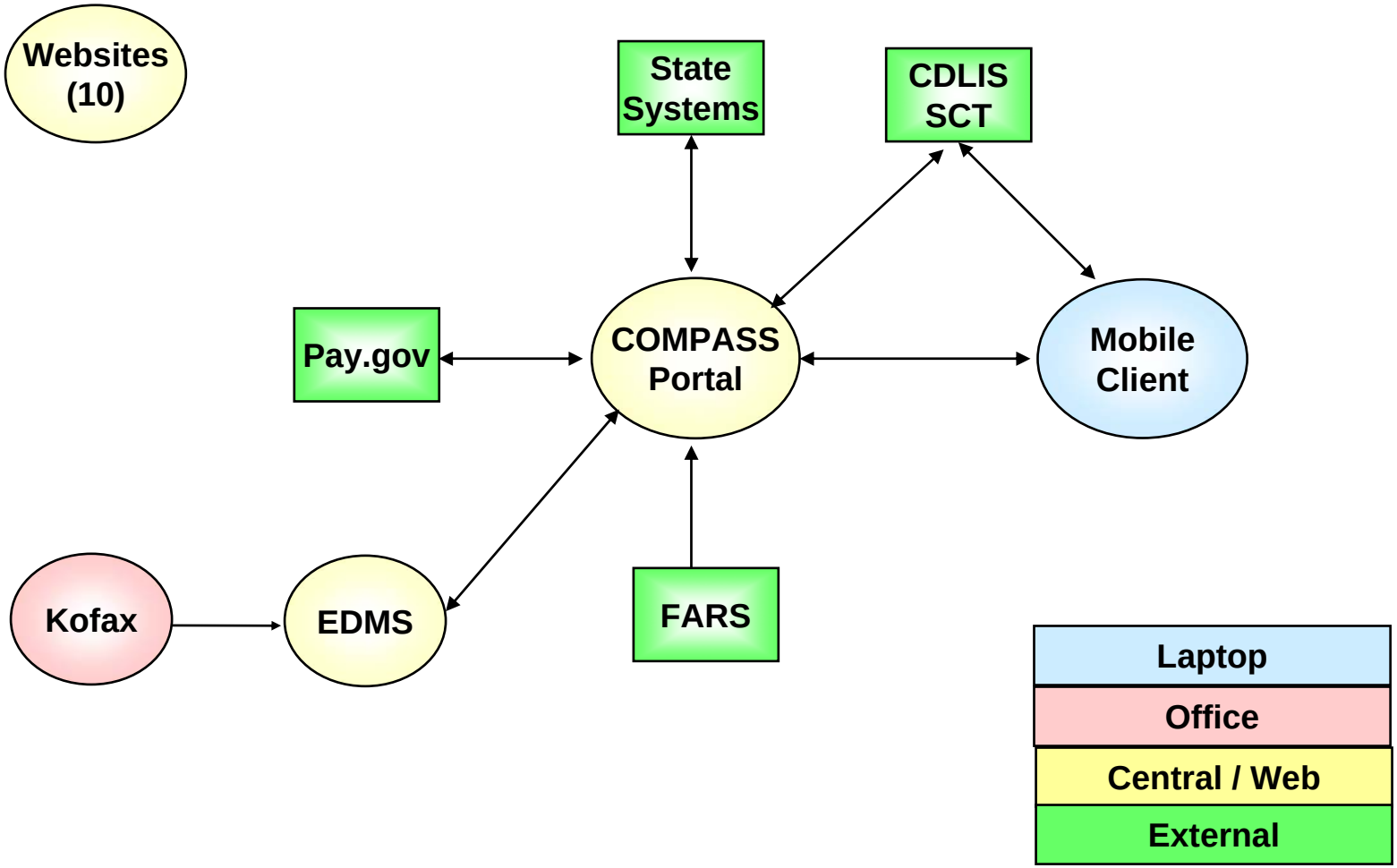
The FMCSA COMPASS Story

“Modernize and Transform”

FMCSA Current Application Interfaces (Simplified)



COMPASS Interfaces



What does the COMPASS Solution Architecture Provide?

- New Portal will access information through a Single Point of Entry for all users
- Creates a “common” framework - Service Oriented Architecture (SOA)
- De-coupled Integration, Allow plug & play
- Centralized Regulatory & Security Compliance
- Provide tools to improve Data Quality and Data Integrity
- Transition existing data to a COMPASS Enterprise Database and Data Warehouse

So what does the COMPASS Solution Architecture look like?

Expected Benefits & Objectives

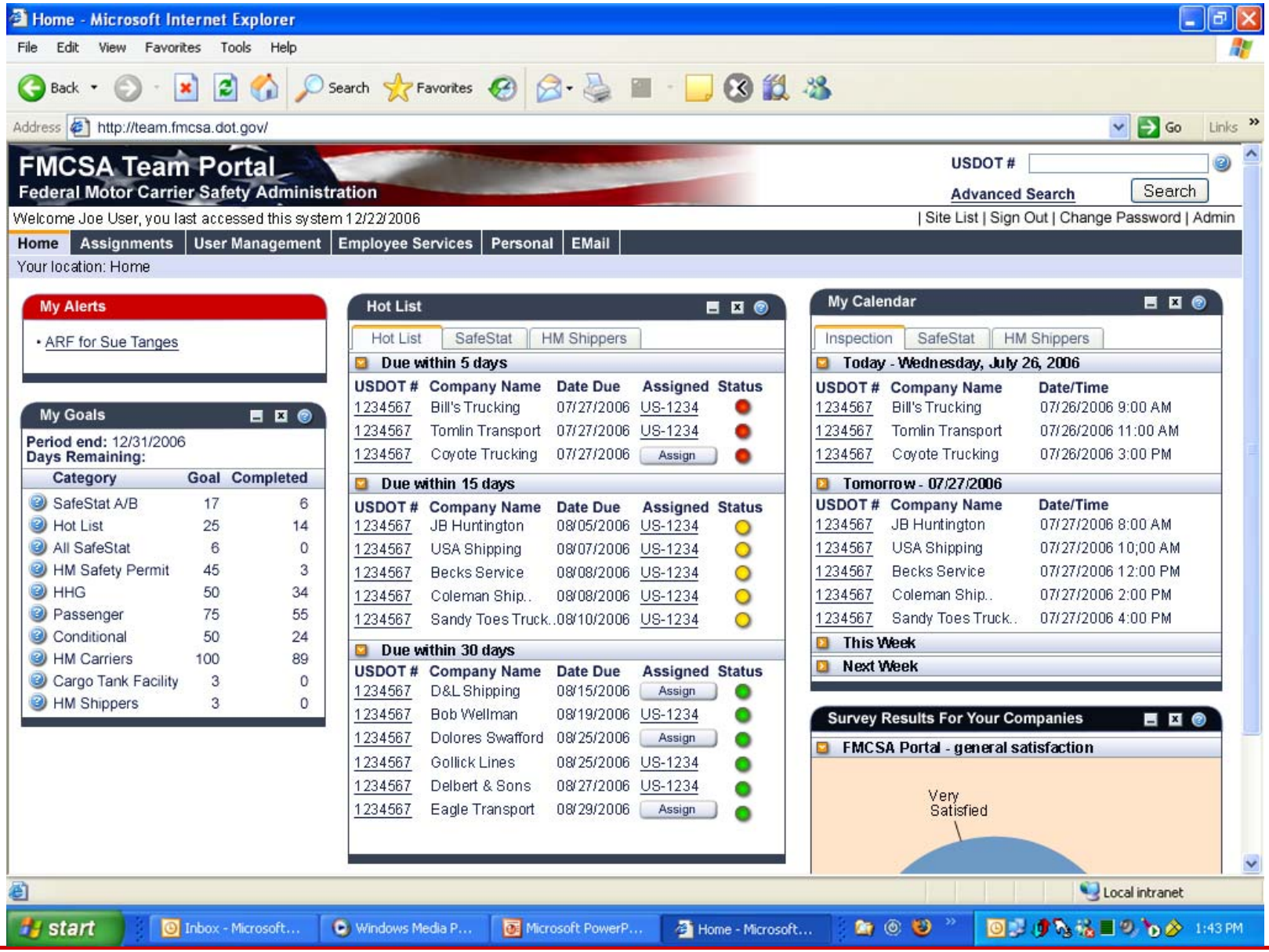
- **Improve Data Accessibility** through simple sign-on and easier navigation
- **Improve Data Consistency** through database consolidation and integration
- **Simplify Data Capturing** and information reporting
- **Increase Productivity and Efficiency** by better integrating our information technology with our business processes
- **Enable Better Policy and Program Decisions** through improved data quality
- **Reduce Costs** for operations and maintenance through consolidation and implementing industry best practices

COMPASS Solution Architecture – "To-Be"

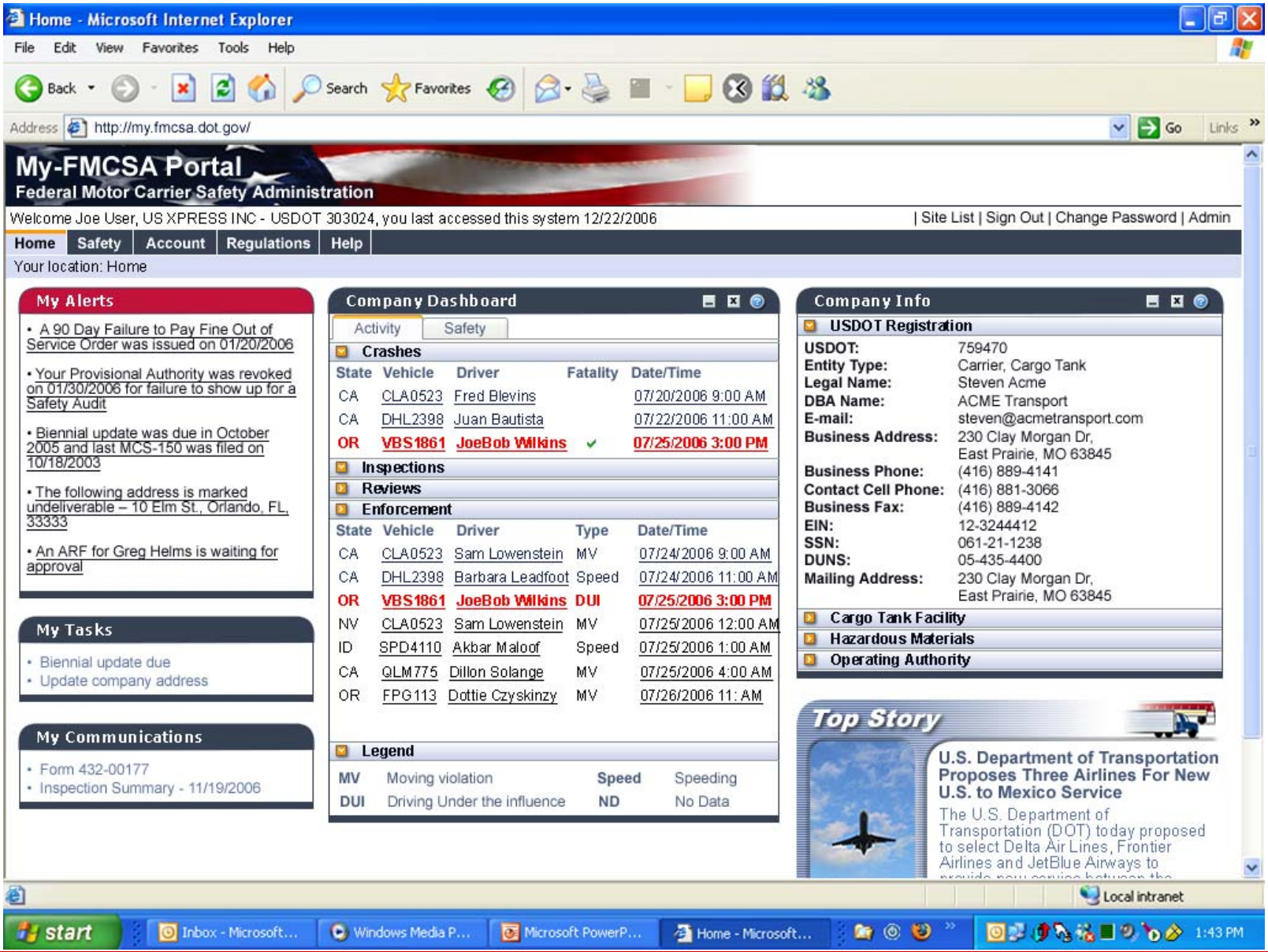
What Value does the COMPASS Program bring to the agency?

1. COMPASS' framework is flexible, scalable and can easily be replicated across the Department of Transportation
2. Reduce costs for the FMCSA Program Management Office
    1. Provides common communication framework across multiple systems
    2. Cost efficient integration and implementation
    3. Development costs to support point-to-point interfaces are reduced or eliminated
3. Improve FMCSA systems reliability, incorporate business intelligence and automate manual processes
4. Enables data quality, visibility and integrity which is a critical success factor of the COMPASS Program

The FMCSA Portal – Internal (FMCSA)



The FMCSA Portal – External (Carrier)



“Modernize & Transform” – Take Away Slide

- Most heard about COMPASS but didn’t know much about it
- Need significant state involvement in the requirements gathering process
- There is a need for public facing website
- Continued coordination with CVISN
- Need better coordination with electronic screening groups
- Intrastate carriers with US DOT Number will be able to access their data through the portal
- Involve cross state representation for determining hardware, software, security constraints for the mobile client beyond federal minimum requirements

“Modernize & Transform” – Take Away Slide

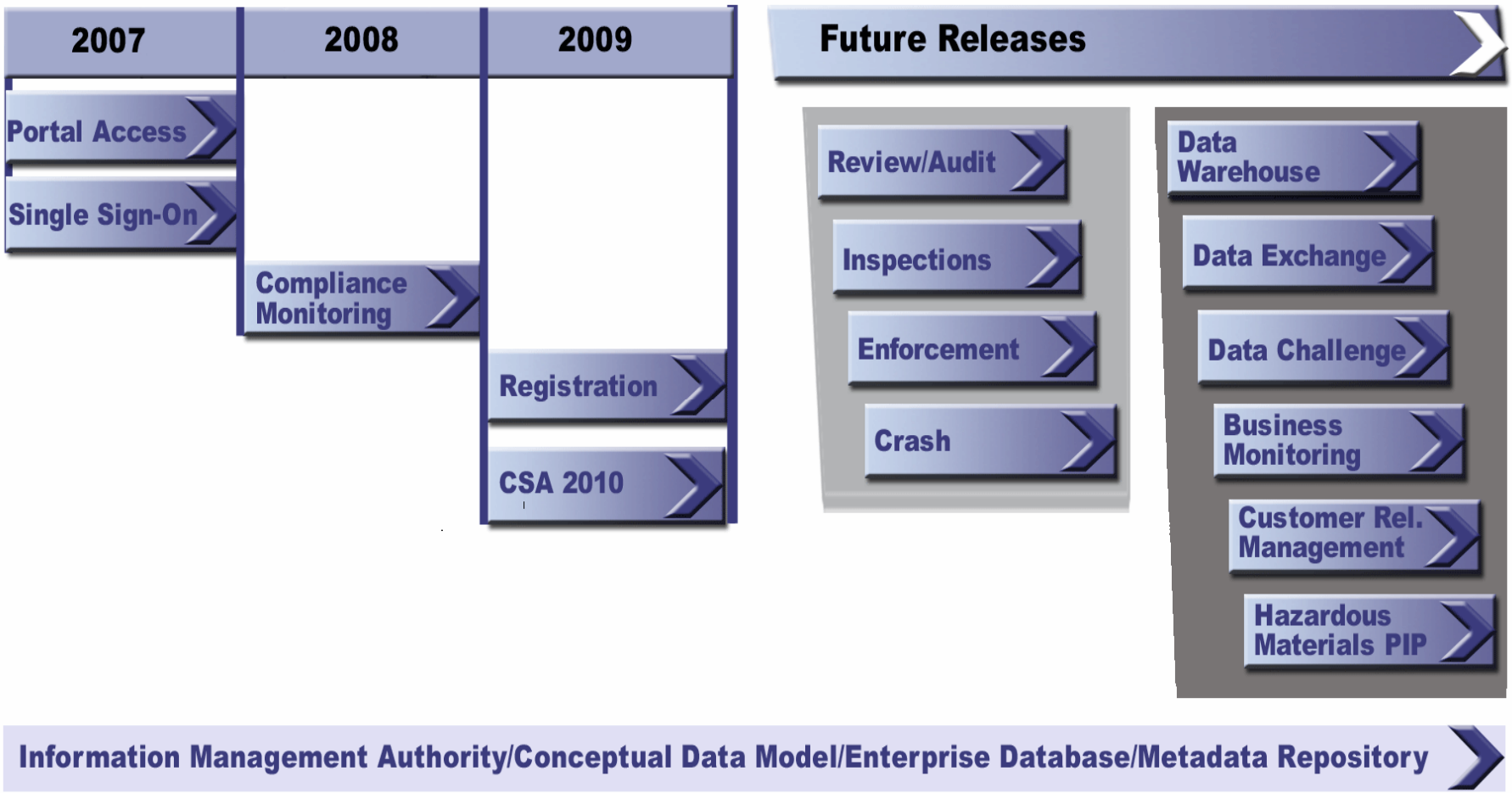
- Adequate state representation needed on the IMA to ensure that all stakeholder requirements are identified
- Will the scope of DataQ’s be expanded beyond challenges (add additional work flow processes – state-to-state communication in addition to data challenges)
- COMPASS IT solution will be based on business improvement driven from CSA2010 and COMPASS business process optimization
- Evaluate opportunities to link to external systems from the portal including EPIC and NLETS
- Need to consider US territories and border states when creating working groups

The COMPASS Roadmap

What is the COMPASS Roadmap?

- **Defines the plan** for all COMPASS releases
- **Identifies functionalities** included within each release
- **Logically sequenced** activities to phase in business functionality
- **Is flexible** and will change based on user input, legislative, regulatory and policy changes, technology changes, funding, etc.
- **Supports the deployment of new business capabilities** and other efforts

COMPASS Roadmap



COMPASS Roadmap – Take Away Slide

- Initially COMPASS will be a wrapper around existing systems. Functionality will shift from existing systems to the portal but will not exist in both at the same time
- Data Warehouse is a separate instance of the data for adhoc reporting utilizing a variety of tools
- There will be reporting functionality prior to the warehouse release
- The placement of the warehouse in the roadmap will be evaluated based on the reporting
- Building the enterprise database will merge existing databases resolving data inconsistencies

COMPASS Roadmap – Take Away Slide

- There is a need to do filtering and searching by postal codes especially for Canadian provinces that do not have county codes
- COMPASS will support multiple languages
- Need to check for data inconsistency in information provided about a company
- Need at least 3 months prior to engagement of user groups for each planned release defined in the roadmap

Pilot and Release 1

Pilot Scope

- Federal Program Managers
  - Select Carrier for Compliance Review and assign Safety Investigators to perform the review
  - Access MCMIS legacy system without additional login to perform other job functions
- Registered Carriers
  - View company information specific to the Carrier including crashes, inspections, reviews and closed enforcement cases
  - Access DataQs legacy system without additional login to challenge information

Release 1 Scope

- Select Carrier for Review or Safety Audit and assign Safety Investigators to perform the review or audit
- View Assignments
- View Company information
- Print or download Company Safety Profiles on an as needed basis at no charge
- Automated accounts management and role assignment
- Automated password reset and account unlock
- Single Sign-on to MCMIS, EMIS and L&I
- Context sensitive online help
- Online access to training materials
- Online survey and user feedback tools

Release 1 Functionality – Accounts Management

- Accounts Management
  - Automates the registration process
  - Automates password reset and account unlock requests
  - Registers users for both COMPASS and legacy systems
  - Everyone is to reregister through COMPASS
  - Organization Coordinator is the internal Approver
  - Authorized User is the registered public Approver
- Roles
  - By functionality not title
  - Organization Coordinators / Authorized Users are able to assign and remove roles via the portal

Pilot and Release 1 – Take Away Slide

- The re-registration process will be a phased process
- Everyone including Organization Coordinator (OC) will have to re-register
- OCs are responsible for maintaining the status of users and access rights
- OCs will be required to review access rights annually
- Access to existing internal FMCSA systems will be through the portal
- If approved, a single user account may access multiple US DOT numbers
- Moving approver capability down to the lowest level
- There is a goal to eliminate requirement for VPN and UAS
- The CDLIS/TML account process will be evaluated for COMPASS

Pilot and Release 1 – Take Away Slide

- Ensure end user notification email includes the OC and Proxy OC contact information
- COMPASS Portal views will be customizable There are no plans to eliminate connectivity options
- Ensure states and divisions can create and control locally defined fields
- Ensure COMPASS meets the privacy and data requirements
- Communicate user id and password requirements to the states in advance of implementation
- Every user needs training – One on One, Train the Trainer, Instructional Training

Public Access and Streamlining Registration

COMPASS Public Access and Streamlining Registration

- Public Access release is directed towards the general public who has an interest in obtaining information about companies (Filter, Query, etc.)
- Streamlining Registration includes:
  - Any changes to the registration and maintenance process, and
  - Enhance awareness and streamline both the New Entrant program and the Company's registration process

COMPASS Public Access and Streamlining Registration – Take Away Slide

- Publish FAQs in an attempt to minimize telephone calls
- Enforcement users will have the choice to view company information from multiple views
- Driver specific information will be covered in CSA2010 and in COMPASS
- Info that the general public currently access through SAFER, public L&I etc. What should we keep or improve?
  - Existing language needs to be simplified
  - No clear understanding of what the information means
  - No understanding what they are filling out – no definitions of fields with current forms
  - No clear understanding as to why a Carrier is "inactive" on the L&I site
  - Confusion over terminology such as what "broker" means. Need more descriptions

COMPASS Public Access and Streamlining Registration – Take Away Slide

- How do we reach out to the carrier community?
  - Motor carrier associations
  - Automated messaging to companies interacting / registering with FMCSA
  - Fliers for registered companies
  - Direct Email
- How do we reach out to the general public?
  - Post Office Change of Address, AARP, Health and Human Services – bus companies, Shippers
- How do you improve the current registration process?
  - Provide carriers information in really simple form, Provide audio, Simplify questions

Regulatory Compliance and Monitoring Alerts

COMPASS Regulatory Compliance and Monitoring Alerts

- Activity that can cause status changes
  - Inspections
  - Crashes
  - Compliance Reviews
  - Safety Audits
  - Insurance filings
- Generate alerts
- Generate correspondence to company
- Daily monitoring of status changes
  - New Entrant processing
  - Mexican Commercial Zone processing
  - Mexican deadly sin monitoring
  - HM Safety Permit monitoring
  - Compliance review rating processing
  - Insurance cancellation monitoring
  - Processing Out of Service Orders and Orders to Cease Operation

COMPASS Regulatory Compliance and Monitoring Alerts – Take Away Slide

- Breakout sessions identified a variety of alerts (e.g. lapse in insurance, carrier changed from inter to intrastate, driver cited as unqualified, drug and/or alcohol use)
- Discussions on who should receive alerts (New Entrant coordinators, Service Centers, Division level, Division HM Specialists/FPMs, HM Program Manager)
- Provide the capability to subscribe to alerts
- There is a need for training/awareness for information on carrier process that will be distributed to the field
- Need a portlet that identifies what's new on the system

COMPASS Regulatory Compliance and Monitoring Alerts – Take Away Slide

- Explore the possibility to link documents/files to alerts
- Deleting alerts should be a function of the user, not automated
- Need for Training - Training environment, Train the trainer, Web Meeting, Non-instructor based training
- Alerts could be informational and/or actionable. Need to separate
- Should be an escalation process for alerts that have not been acted on (e.g. email manager)

Data Warehouse and Reporting

COMPASS Data Warehouse and Reporting

- Separate database for reporting
  - Flexible design to support specific reporting needs
  - Remove reporting impact from transaction performance
- Types of reporting
  - Regularly generated reports
  - Specific format reports that can be generated on demand
  - Ad-hoc querying
  - Statistics
  - Graphics

COMPASS Data Warehouse and Reporting – Take Away Slides

- Need to get access to more State information
- Need to support performance measures
- There is a need for driver based reporting
- Need for GIS Information
- Need to have the capability to do custom queries
- Leverage the reporting on SAFETYNET
- Want to see reporting done by specific officer
- Need to see information going back at least 3 or more years
- Data Quality and Data Integrity is critical for reporting
- More federal visibility of State violations
- Continued support for all data access tools

COMPASS Inspections

COMPASS Inspections

The inspection release will include functionality for:

- Selecting an entity for an inspection,
- Entering the inspection details,
- Reviewing and approving the inspection and ensuring that we are matching the inspection report to the correct company/entity
- Implementation of a streamlined reconciliation of Carrier certifications against the original inspection records.

COMPASS Inspections – Take Away Slide

- Be flexible in methods of connectivity
- Want to make data checks / corrections at the state level before upload to MCMIS
- Able to tailor state violations in addition to federal that they need to be able to cite
- Ability to automatically populate information from existing systems
- Automatically populate using barcode scanning (e.g. drivers license and registration)
- Citation functionality needs to be considered for COMPASS
- Be able to define and use state specific fields
- Transmission of data should use small packets of data
- Provide ability to do automatic software updates
- Ability to exchange data between mobile client and other systems external to FMCSA
- Ability to provide canned and adhoc reporting

COMPASS Reviews

COMPASS Reviews

This release includes functionality to:

- Select a carrier for review,
- Scheduling a review,
- Preparing for the review,
- Conducting the review,
- Reviewing and authorizing the review once it is complete, and
- Starting an enforcement case when necessary which will include generating the Notice of Claim.

COMPASS Reviews – Take Away Slide

- Assignments:
  - Business rules/intelligence need to identify carriers evading compliance
  - Inconsistent data representation across systems
  - Monitoring capabilities of existing assignments
  - FPM would like to see a dashboard of goals
- Preparing for Compliance Review:
  - Dividing line between Federal and State information
  - Would like to expand access to EDMS for state people
  - Automated way to pull all required information prior to review
  - Trend analysis reports

COMPASS Reviews – Take Away Slide

- Conducting a review:
  - A need to collect and map GPS information
  - Configurable worksheets
  - Define a configurable work flow for conducting a compliance review
  - Ability to link up mobile client with training manual (eFOTM)
- Complaints/enforcement cases
  - Automated ability to determine if the complaint is frivolous or non-frivolous
  - Able to use appropriate letterhead for each division
  - States should be able to access automatically generated case numbers
  - Track state level enforcement cases (e.g. civil cases)
  - View case history / safety history for the complaint subject
  - Track driver specific comments related to a case

COMPASS Reviews – Take Away Slide

- Authorize
  - Need full access to complete review including worksheets
- General
  - Ability to process intrastate carrier reviews the same as interstate reviews
  - Support electronic signatures
  - FMCSA Review process policies need to be reviewed for consistency
  - Involve Legal to ensure consistent goals
  - Notification of change in functionality when accessing that functionality
  - Pull statistics for CRs and Safety Audits (adhoc reporting)

COMPASS Crashes

COMPASS Crashes

- Provide functionality to support and improve:
  - Crash investigations
  - Crash recording process
  - Uploading of state crash information
  - Analysis of crash information to avoid future crashes
- Identify additional crash related functionality to be provided
- Identify stakeholders
- Identify implementation strategies
- Discuss preferred training methods

COMPASS Crashes – Take Away Slide

- Ability to search by VIN Number and driver for Crash information
- Need edit capability on Crash data prior to uploading it to federal
- Need to capture GIS information (e.g. Longitude and Latitude of crash site)
- Collect crash data on an event basis as opposed to a vehicle basis
- Ability to link post-crash inspections with a crash
- Improve communication of federal criteria for identifying commercial vehicles
- Leverage functionality of existing crash applications
- Be able to view crash statistics by fiscal or calendar year
- Be able to track crash rate data to measure progress at the state level

COMPASS Crashes – Take Away Slide

- Inconsistent classifications of injury across states and between states and federal
- Inconsistent data representation across systems
- Be able to include the narrative in COMPASS
- Need crash causation statistics reports for safety programs
- Concerns over timeliness of crash data (e.g. A&I)
- Improve training of roadside investigators
- States currently review/modify crash data for data quality (e.g. invalid VINs)
- Leverage SAFETYNET's edit checks
- Leverage FARS for Reporting
- Need for system-to-system access from multiple systems

Questions

If your manager were to ask you:

"What is the COMPASS Program?"

What would you tell him/her?

COMPASS Program - Take Away Slide

- Single Sign-on
- Data Quality
- Business Process Optimization
- Collaboration
- Consolidation
  - Portal
  - Enterprise Database
  - Data Warehouse
  - Mobile Client

Discussion

- Prior to attending the 2006 FMCSA IT Workshop:
  - What was your vision of COMPASS?
  - Did it meet your expectations?
- If you could change the COMPASS Roadmap, what would you add or eliminate?
- What did you like or dislike in the Pilot demonstration and Release 1 views of the Portal?

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